

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

Docket No.  
**14846-33**

In Re Application Of: **ANDREW DODDINGTON**

Serial No.  
**TBA**

Filing Date  
**October 30, 2003**

Examiner  
**TBA**

Group Art Unit  
**TBA**

Invention: **Methods and Systems For Using XML Schemas To Identify and Categorize Documents**

**TO THE COMMISSIONER FOR PATENTS:**

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

Check applicable statement herebelow:

**Statement Under 37 CFR 1.97(e)(1)**

- Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

**Statement Under 37 CFR 1.97(e)(2)**

- No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

  
\_\_\_\_\_  
Signature

Dated: **10/30/2003**

**George Morgan, Esq., (Reg. No. 46,505)  
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cc:

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**October 30, 2003** with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
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**Kelly Billingsley**

**Typed or Printed Name of Person Mailing Correspondence**

**INFORMATION DISCLOSURE CITATION**  
*(Use several sheets if necessary)*

Docket Number (Optional)  
**14846-33**

Application Number  
**TBA**

Applicant(s)  
**Andrew Doddington**

Filing Date  
**October 30, 2003**

Group Art Unit  
**TBA**

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	1	2002/0038320	3/28/02	Brook			
	2	2003/0018666	1/23/03	Chen et al.			
	3	2003/0069975	4/10/03	Abjanic et al.			
	4	2003/0070158	4/10/03	Lucas et al.			
	5	2003/0140308	7/24/03	Murthy et al.			
	6	2003/0163603	8/28/03	Fry et al.			
	7	2003/0167445	9/4/03	Su et al.			
	8	2003/0177341	9/18/03	Devillers			
	9	US 6,601,075	7/29/03	Huang et al.			
	10	2003/0145047	7/31/03	Upton			
	11	2003/0177118	9/18/03	Moon et al.			

**FOREIGN PATENT DOCUMENTS**

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

**OTHER DOCUMENTS** *(Including Author, Title, Date, Pertinent Pages, Etc.)*


EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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September 26, 2003

George D. Morgan, Esq.  
Lowenstein Sandler PC  
65 Livingston Avenue  
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**Re: Patentability Search in respect of a “Methods and systems for using XML schemas to identify and categorize documents”**

Your Ref: 14846-33  
Our Ref: SANDLER-20054

Dear Mr. Morgan:

Responsive to your search request, a patentability search has been conducted on the above subject matter.

**Objective:**

The purpose of the search is to locate references disclosing a method for identifying XML document including a step of obtaining documents, matching the document against a plurality of XML schemas that specify a set of document types that support a particular application, and based on the results of these comparisons, outputting information regarding the document type. The outputted information could include information regarding the identification of the document type. In the event that the document fails to match the schema exactly, the document type which most closely matches the given document could be identified.

**Results of the Search:**

Your attention is brought to the following:

US publication 20030177341 published by Devillers discloses an XML schema syntactic analysis method which is used to carry out the syntactic analysis of a bit stream to produce a document. Please see [0001], [0009], [0013], [0024], [0050].

US patent 6,601,075 issued to Huang discloses a system and method for ranking and retrieving documents based on authority scores of schemas and document. Fig 2-3, column 3, line 55 column 5.

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US publication 20030145047 published by Upton discloses a system and method in which a schema can be used to ensure that a communication such as a request or response is in the proper format for one of the components. The metadata can be transformed to a response document that conforms to a schema. The document can be validated against the schema and passed on to the client application. Please see [0075], [0076].

US publication 20030177118 published by Moon discloses a system and method for classification of documents in which a classification engine executes a classify command from a client that makes use of similarity search results, and rules files, classes files, and a classification profile. When the classification receives a classification profile and input documents to be classified, sends extracted values from the input documents based on anchor values to a XML transformation engine to obtain a search schema and classifies the input documents and anchor values and input documents according to the rules files, classes files, and the classification profile. Please see [0005]-[0010].

The following references were selected as being of a marginal possible additional interest:

<u>Patent Number</u>	<u>Inventor</u>	<u>Date Issue</u>
2002/0038320	Brook	03/28/2002
2003/0018666	Chen et al.	01/23/2003
2003/0069975	Abjanic et al.	04/10/2003
2003/0070158	Lucas et al.	04/10/2003
2003/0140308	Murthy et al.	07/24/2003
2003/0163603	Fry et al.	08/28/2003
2003/0167445	Su et al.	09/04/2003

The field of search was directed to the following areas:

<u>Class</u>	<u>Subclass/es</u>
707	104.1, 100, 1

All the references cited herein above have been photocopied and are enclosed with your disclosure.

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If we may be of any further service, please advise.

Thank you for giving us an opportunity to be of service to you.

Very truly yours,



Israel Agranov, Ph.D.  
Senior Vice President



C. C. Shroff, Ph.D.  
Associate Vice President

IA/CCS/SK/ss

Enclosures